UTILITY PATENT APPLICATION TRANSMITTAL
(Large Entity)
(Only for new nonprovisional applications under 37 CFR 1.53(b))

Docket No.
00-106

Total Pages in this Submission
120

TO THE ASSISTANT COMMISSIONER FOR PATENTS
Box Patent Application
Washington, D.C. 20231

Transmitted herewith for filing under 35 U.S.C. 111(a) and 37 C.F.R. 1.53(b) is a new utility patent application for an invention entitled:

> **METHOD AND APPARATUS FOR DYNAMIC RULE AND/OR OFFER GENERATION**

and invented by:

> Raymod J. MUELLER, Andrew S. VAN LUCHENE, Jeffrey E. HEIER, Christine AMOROSSI, Krishna SRIKANT, and Ted MARKOWITZ

If a CONTINUATION APPLICATION, *check appropriate box and supply the requisite information:*

☐ **Continuation** ☐ **Divisional** ☐ **Continuation-in-part (CIP)** of prior application No.: _____

Which is a:

☐ **Continuation** ☐ **Divisional** ☐ **Continuation-in-part (CIP)** of prior application No.: _____

Which is a:

☐ **Continuation** ☐ **Divisional** ☐ **Continuation-in-part (CIP)** of prior application No.: _____

Enclosed are:

Application Elements

1. ☒ Filing fee as calculated and transmitted as described below

2. ☒ Specification having _____99_____ pages and including the following:

   a. ☒ Descriptive Title of the Invention

   b. ☐ Cross References to Related Applications *(if applicable)*

   c. ☐ Statement Regarding Federally-sponsored Research/Development *(if applicable)*

   d. ☐ Reference to Microfiche Appendix *(if applicable)*

   e. ☒ Background of the Invention

   f. ☒ Brief Summary of the Invention

   g. ☒ Brief Description of the Drawings *(if drawings filed)*

   h. ☒ Detailed Description

   i. ☒ Claim(s) as Classified Below

   j. ☒ Abstract of the Disclosure

The PTO did not receive the following listed item(s) _Claims_

UTILITY PATENT APPLICATION TRANSMITTAL
(Large Entity)
(Only for new nonprovisional applications under 37 CFR 1.53(b))

Docket No.
00-106

Total Pages in this Submission
120

Application Elements (Continued)

3. ☒ Drawing(s) *(when necessary as prescribed by 35 USC 113)*

   a. ☒ Formal   Number of Sheets   21

   b. ☐ Informal   Number of Sheets

4. ☐ Oath or Declaration

   a. ☐ Newly executed *(original or copy)*   ☐ Unexecuted

   b. ☐ Copy from a prior application (37 CFR 1.63(d)) *(for continuation/divisional application only)*

   c. ☐ With Power of Attorney   ☐ Without Power of Attorney

   d. ☐ *DELETION OF INVENTOR(S)*
      Signed statement attached deleting inventor(s) named in the prior application,
      see 37 C.F.R. 1.63(d)(2) and 1.33(b).

5. ☐ Incorporation By Reference *(usable if Box 4b is checked)*
The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.

6. ☐ Computer Program in Microfiche *(Appendix)*

7. ☐ Nucleotide and/or Amino Acid Sequence Submission *(if applicable, all must be included)*

   a. ☐ Paper Copy

   b. ☐ Computer Readable Copy *(identical to computer copy)*

   c. ☐ Statement Verifying Identical Paper and Computer Readable Copy

Accompanying Application Parts

8. ☐ Assignment Papers *(cover sheet & document(s))*

9. ☐ 37 CFR 3.73(B) Statement *(when there is an assignee)*

10. ☐ English Translation Document *(if applicable)*

11. ☐ Information Disclosure Statement/PTO-1449   ☐ Copies of IDS Citations

12. ☐ Preliminary Amendment

13. ☒ Acknowledgment postcard

14. ☒ Certificate of Mailing

   ☐ First Class   ☒ Express Mail *(Specify Label No.):* EV013984396US

P01ULRG/REV05

UTILITY PATENT APPLICATION TRANSMITTAL **(Large Entity)** *(Only for new nonprovisional applications under 37 CFR 1.53(b))*	Docket No. 00-106
	Total Pages in this Submission 120

Accompanying Application Parts (Continued)

15. ☐ Certified Copy of Priority Document(s) *(if foreign priority is claimed)*

16. ☒ Additional Enclosures *(please identify below):*

> There are two (2) compact discs, one (1) original and one (1) duplicate, (the two compact discs are identical) and
> Each compact disc includes ninety files, which are listed in detail on pages 4 and 5;
> Each CD is IBM-PC formatted; and
> Each CD is MS-Windows compatible.

Request That Application Not Be Published Pursuant To 35 U.S.C. 122(b)(2)

17. ☐ Pursuant to 35 U.S.C. 122(b)(2), Applicant hereby requests that this patent application not be published pursuant to 35 U.S.C. 122(b)(1). Applicant hereby certifies that the invention disclosed in this application has not and will not be the subject of an application filed in another country, or under a multilateral international agreement, that requires publication of applications 18 months after filing of the application.

Warning

An applicant who makes a request not to publish, but who subsequently files in a foreign country or under a multilateral international agreement specified in 35 U.S.C. 122(b)(2)(B)(i), must notify the Director of such filing not later than 45 days after the date of the filing of such foreign or international application. A failure of the applicant to provide such notice within the prescribed period shall result in the application being regarded as abandoned, unless it is shown to the satisfaction of the Director that the delay in submitting the notice was unintentional.

P01ULRG/REV05

Continuation of 16.   Additional Enclosures:

A computer program listing appendix has been submitted on two compact discs. All material on the compact discs is incorporated herein by reference as part of the present disclosure.   There are two (2) compact discs, one (1) original and one (1) duplicate, and each compact disc includes the following ninety files:

FILE NAME	SIZE IN BYTES	DATE CREATED
ActionSet.java	26,409	10/31/01
ArmTimerOrderProcessor.java	7,095	10/26/01
BayesRule.java	6,274	10/26/01
BioNET.java	22,152	10/24/01
BioNetDatabase.java	40,708	11/1/01
BioNetNonTerminalException.java	5,108	10/30/01
BioNetTerminalException.java	3,140	8/27/01
BioNetUtilities.java	11,850	10/18/01
Classifier.java	47,169	10/29/01
ClassifierFieldManager.java	8,385	10/30/01
ClassifierPopulation.java	25,894	10/30/01
ClassifierSet.java	12,784	10/30/01
ClassifierStatistics.java	13,778	10/29/01
ClassifierSystem.java	4,248	11/7/01
ConditionalProbability.java	3,433	10/26/01
ConditionalProbabilityMap.java	5,566	10/17/01
ConditionalProbabilityMap_Double.java	2,090	10/17/01
ConditionalProbabilityMap_Integer.java	1,760	10/17/01
ConditionalProbability_Integer.java	4,059	10/26/01
ConfigurationEvent.java	3,373	10/29/01
ConfigurationEventListener.java	899	9/4/01
DatabaseField.java	1,773	8/27/01
DBbioNETConfig.java	15,479	10/30/01
DBcashiers.java	3,909	10/31/01
DBconfig.java	4,747	10/31/01
DBdataSubsystem.java	1,548	11/2/01
DBdataSubsystemFactory.java	9,749	10/28/01
DBdataSubsystemFactoryPhase1.java	3,914	10/28/01
DBdataSubsystemFactoryPhase2.java	3,909	10/28/01
DBdestinations.java	4,264	10/31/01
DBintDescription.java	7,553	10/31/01
DBmappedNodes.java	13,742	10/31/01
DBmenuItem.java	41,161	11/6/01
DBmenuItemPeriod.java	19,505	11/6/01
DBmenuItemPhase1.java	7,273	11/1/01

DBmenuItemProbability.java	7,266	11/1/01
DBmenuItems.java	51,588	11/6/01
DBmenuItemsPhase1.java	4,819	11/1/01
DBperiod.java	14,043	11/4/01
DBperiodCounts.java	5,320	11/4/01
DBperiods.java	27,560	11/6/01
DBregisters.java	4,228	10/31/01
DebugPrintNothing.java	1,861	11/2/01
DebugPrintOut.java	8,181	11/2/01
DigitalDealDatabase.java	4,175	10/31/01
Evolvable.java	1,301	11/2/01
EvolverAgent.java	3,676	11/2/01
GeneratesOffers.java	1,575	11/2/01
HasNamedFields.java	1,319	11/2/01
IdenticalOfferAgent.java	3,467	11/2/01
IdenticalOfferInterface.java	1,376	11/2/01
InitializeFromResultSet.java	1,336	8/27/01
Lcs.java	17,294	10/30/01
LcsItem.java	2,038	11/2/01
LearnerAgent.java	6,017	11/6/01
Learns.java	1,637	11/2/01
MappedNodeInterface.java	1,254	10/18/01
MappedNodeManager.java	1,883	10/18/01
MapsPeriodIds.java	1,202	10/9/01
MenuItemEvent.java	6,027	11/1/01
MenuItemListener.java	1,238	11/1/01
ObservedOutcomes.java	1,812	10/17/01
Offerable.java	2,042	11/5/01
Offerables.java	3,005	10/25/01
OfferGeneratingInstance.java	4,952	11/6/01
OfferGenerator.java	5,139	10/19/01
OfferItem.java	20,105	11/6/01
OfferPoolCreator.java	8,324	10/26/01
Order.java	15,403	10/29/01
Orderable.java	1,346	11/5/01
Orderables.java	1,998	10/16/01
OrderItem.java	8,136	11/5/01
OrderProcessor.java	8,737	9/27/01
OverDollarOfferPoolCreator.java	2,173	10/26/01
PeriodCounts.java	789	11/4/01
PeriodIdMapper.java	2,162	10/26/01
PredictionArray.java	13,648	10/29/01
RefreshAgent.java	1,769	10/24/01
RefreshListener.java	1,384	11/2/01
SqlStatement.java	16,751	10/24/01
StateEvent.java	2,986	10/2/01
StateEventListener.java	875	9/20/01
SystemParameters.java	18,660	10/29/01
TimerArmedOrderProcessor.java	4,747	9/26/01
TimerThread.java	1,304	10/24/01
Updatable.java	1,398	10/29/01
UpgradeAgent.java	2,644	10/25/01
WakeUpAction.java	880	8/28/01
XcsInstance.java	25,626	11/6/01
XcsOfferItem.java	7,860	10/29/01

UTILITY PATENT APPLICATION TRANSMITTAL
(Large Entity)
(Only for new nonprovisional applications under 37 CFR 1.53(b))
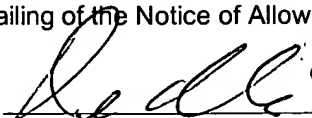
Docket No. 00-106
Total Pages in this Submission 120

Fee Calculation and Transmittal

CLAIMS AS FILED

For	#Filed	#Allowed	#Extra	Rate		Fee
Total Claims	7	- 20 =	0	x	$18.00	$0.00
Indep. Claims	5	- 3 =	2	x	$84.00	$168.00
Multiple Dependent Claims (check if applicable) ☐						$0.00
					BASIC FEE	740
OTHER FEE *(specify purpose)* _____						$0.00
					TOTAL FILING FEE	$908.00

☐ A check in the amount of _____ to cover the filing fee is enclosed.

☒ The Commissioner is hereby authorized to charge and credit Deposit Account No.   50-0271
as described below. A duplicate copy of this sheet is enclosed.

  ☒ Charge the amount of   *$ 908.00*   as filing fee.

  ☒ Credit any overpayment.

  ☒ Charge any additional filing fees required under 37 C.F.R. 1.16 and 1.17.

  ☐ Charge the issue fee set in 37 C.F.R. 1.18 at the mailing of the Notice of Allowance,
    pursuant to 37 C.F.R. 1.311(b).

_____
Signature

Dean P. Alderucci
Attorney for Applicants
PTO Registration No. 40,484
203.461.7337/phone
203.461.7300/fax

Dated: **November 14, 2001**

22927

CC: PATENT TRADEMARK OFFICE   Alderucci@walkerdigital.com

P01ULRG/REV05

CERTIFICATE OF MAIL●● "EXPRESS MAIL" (37 CFR 1.●●			Docket No.
Applicant(s): MUELLER et al.			00-106

Serial No. Not Yet Assigned	Filing Date November 14, 2001	Examiner Not Yet Assigned	Group Art Unit Not Yet Assigned

Invention: **METHOD AND APPARATUS FOR DYNAMIC RULE AND/OR OFFER GENERATION**

I hereby certify that the following correspondence:

UTILITY PATENT APPLICATION

(Identify type of correspondence)

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under

37 CFR 1.10 in an envelope addressed to: The Assistant Commissioner for Patents, Washington, D.C. 20231 on

November 14, 2001
(Date)

Veronika S. Leliever
(Typed or Printed Name of Person Mailing Correspondence)

(Signature of Person Mailing Correspondence)

EV013984396US
("Express Mail" Mailing Label Number)

Note: Each paper must have its own certificate of mailing.

P06A/REV02

```
Volume in drive D:\ is
Directory of D:\

ActionSet.java                              26 KB      /31/01
ArmTimerOrderProcessor.java                  7 KB    10/26/01
BayesRule.java                               7 KB    10/26/01
BioNET.java                                 22 KB    10/24/01
BioNetDatabase.java                         40 KB    11/1/01
BioNetNonTerminalException.java              5 KB    10/30/01
BioNetTerminalException.java                 4 KB     8/27/01
BioNetUtilities.java                        12 KB    10/18/01
Classifier.java                             47 KB    10/29/01
ClassifierFieldManager.java                  9 KB    10/30/01
ClassifierPopulation.java                   26 KB    10/30/01
ClassifierSet.java                          13 KB    10/30/01
ClassifierStatistics.java                   14 KB    10/29/01
ClassifierSystem.java                        5 KB    11/7/01
ConditionalProbability.java                  4 KB    10/26/01
ConditionalProbability_Integer.java          4 KB    10/26/01
ConditionalProbabilityMap.java               6 KB    10/17/01
ConditionalProbabilityMap_Double.java        3 KB    10/17/01
ConditionalProbabilityMap_Integer.java       2 KB    10/17/01
ConfigurationEvent.java                      4 KB    10/29/01
ConfigurationEventListener.java              1 KB     9/4/01
DatabaseField.java                           2 KB     8/27/01
DBbioNETConfig.java                         16 KB    10/30/01
DBcashiers.java                              4 KB    10/31/01
DBconfig.java                                5 KB    10/31/01
DBdataSubsystem.java                         2 KB    11/2/01
DBdataSubsystemFactory.java                 10 KB    10/28/01
DBdataSubsystemFactoryPhase1.java            4 KB    10/28/01
DBdataSubsystemFactoryPhase2.java            4 KB    10/28/01
DBdestinations.java                          5 KB    10/31/01
DBintDescription.java                        8 KB    10/31/01
DBmappedNodes.java                          14 KB    10/31/01
DBmenuItem.java                             41 KB    11/6/01
DBmenuItemPeriod.java                       20 KB    11/6/01
DBmenuItemPhase1.java                        8 KB    11/1/01
DBmenuItemProbability.java                   8 KB    11/1/01
DBmenuItems.java                            51 KB    11/6/01
DBmenuItemsPhase1.java                       5 KB    11/1/01
DBperiod.java                               14 KB    11/4/01
DBperiodCounts.java                          6 KB    11/4/01
DBperiods.java                              27 KB    11/6/01
DBregisters.java                             5 KB    10/31/01
DebugPrintNothing.java                       2 KB    11/2/01
DebugPrintOut.java                           8 KB    11/2/01
DigitalDealDatabase.java                     5 KB    10/31/01
Evolvable.java                               2 KB    11/2/01
EvolverAgent.java                            4 KB    11/2/01
GeneratesOffers.java                         2 KB    11/2/01
HasNamedFields.java                          2 KB    11/2/01
IdenticalOfferAgent.java                     4 KB    11/2/01
IdenticalOfferInterface.java                 2 KB    11/2/01
InitializeFromResultSet.java                 2 KB     8/27/01
Lcs.java                                    17 KB    10/30/01
LcsItem.java                                 2 KB    11/2/01
LearnerAgent.java                            6 KB    11/6/01
Learns.java                                  2 KB    11/2/01
MappedNodeInterface.java                     2 KB    10/18/01
MappedNodeManager.java                       2 KB    10/18/01
MapsPeriodIds.java                           2 KB    10/9/01
MenuItemEvent.java                           6 KB    11/1/01
MenuItemListener.java                        2 KB    11/1/01
ObservedOutcomes.java                        2 KB    10/17/01
Offerable.java                               2 KB    11/5/01
Offerables.java                              3 KB    10/25/01
OfferGeneratingInstance.java                 5 KB    11/6/01
OfferGenerator.java                          6 KB    10/19/01
OfferItem.java                              20 KB    11/6/01
OfferPoolCreator.java                        9 KB    10/26/01
Order.java                                  16 KB    10/29/01
Orderable.java                               2 KB    11/5/01
Orderables.java                              2 KB    10/16/01
OrderItem.java                               8 KB    11/5/01
OrderProcessor.java                          9 KB     9/27/01
OverDollarOfferPoolCreator.java              3 KB    10/26/01
PeriodCounts.java                            1 KB    11/4/01
PeriodIdMapper.java                          3 KB    10/26/01
```

```
PredictionArray.java                    14 KB        10/29/01
RefreshAgent.java                        2 KB        ■/24/01
RefreshListener.java                     2 KB        ■/2/01
SqlStatement.java                       17 KB        ■/24/01
StateEvent.java                          3 KB        10/2/01
StateEventListener.java                  1 KB         9/20/01
SystemParameters.java                   19 KB        10/29/01
TimerArmedOrderProcessor.java            5 KB         9/26/01
TimerThread.java                         2 KB        10/24/01
Updatable.java                           2 KB        10/29/01
UpgradeAgent.java                        3 KB        10/25/01
WakeUpAction.java                        1 KB         8/28/01
XcsInstance.java                        26 KB        11/6/01
XcsOfferItem.java                        8 KB        10/29/01


     90 file(s)
     Total filesize 746 KB
     0 kilobytes free
```